



**NATIONAL CORE
INDICATORS®**
NASDDDS & HSRI

NCI Virtual Annual Meeting: Session 2

September 9, 2020




- Please let everyone know which state you are representing by including the state in your participant name
 - Right click on your video/name and choose “rename”.
 - For example “Dorothy Hiersteiner, MA”
- Please mute to lessen background noise, unless you are speaking
- For questions or comments during the presentation piece of this webinar, either raise your hand in the participant pod or comment in chat box
- Have fun!
- THE SLIDES AND RECORDING WILL BE AVAILABLE TOMORROW ON THE NCI WEBSITE
WWW.NATIONALCOREINDIATORS.ORG

Agenda

- Intro
- Poll question
- IPS Remote Surveying
 - Findings from pilot
 - State-level decision-making: Using the remote survey option
 - How to make decisions at the case level
 - Ensuring access to survey for those with limited tech access (PA)
 - Anticipating Challenges (KY)
- Break-out 1 and report out
- Overview of 2020-21 IPS protocols
 - Proxy determination questions (VA)
 - Building Rapport (VA)
 - Engaging people who don't communicate verbally (OR)
- Break-out 2 and report out

Introduction to Session 2



- Analysis of the results from the Remote Survey pilot (conducted in June 2020).
 - comparing responses to in-person mode,
 - examining differences in samples
 - surveyor and participant feedback,
 - examining aspects of technology and access
- **The results suggest that, with sufficient care and attention to surveyor training and protocols, we can recommend moving forward with planning for the use of the video-conference survey option for the 2020-21 cycle.**
 - (Please note, surveys completed entirely over the telephone (with no video component) are not permitted.)
 - *We will provide more detailed information on our findings later this year.*

Introduction to Session 2

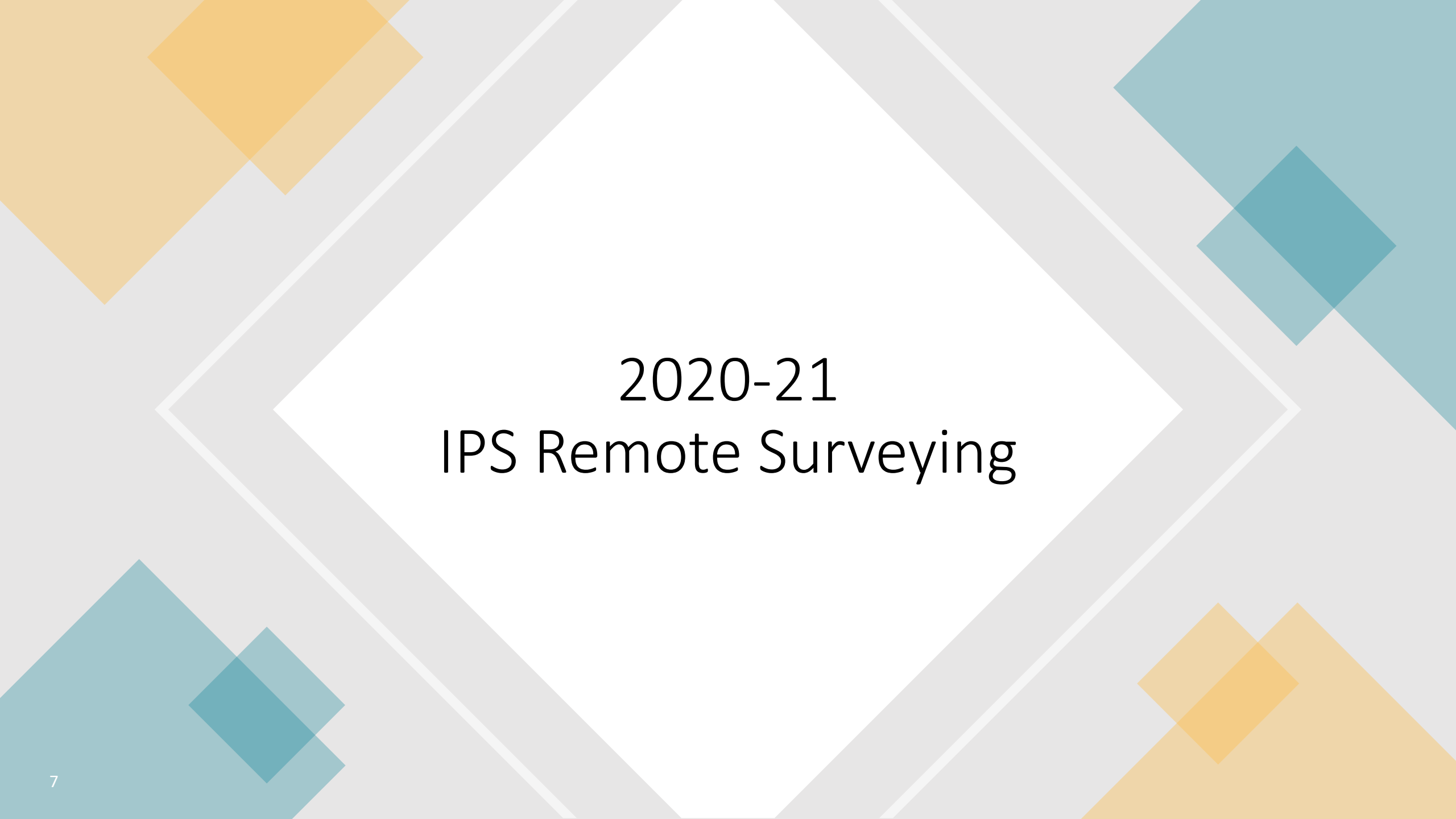
PLEASE NOTE: By **September 15** we will provide states guidance on particular areas for consideration when remote surveying is the chosen mode of administering the IPS.

PLEASE do not begin surveying until we give the go-ahead (do not begin remote surveying or face-to-face surveying).



POLL QUESTION 1

- Is your state planning on conducting remote surveys via video-conference?
 - Yes
 - No
 - Don't know



2020-21 IPS Remote Surveying

Findings from Pilot

- Tested the difference between in-person and remote modes
 - Looked at difference in samples
 - Looked at differences in responses
 - Looked at differences in use of proxy
 - Examined the feedback from surveyors and participants
 - Looked closely at access to tech: hardware, support, internet, etc.
- Looked at effects of COVID-19 on responses
- More detail on analysis will be shared later this year

- Community type (metropolitan, micropolitan, small town, rural)
- Age
- Gender
- Race
- Whether or not has a legal guardian
- Primary language (English vs. other)
- Preferred mode of communication (spoken vs. other)
- Level of ID (mild/moderate vs. severe/profound)
- Presence of at least one mental illness diagnosis (other than behavioral challenges)
- Presence of behavioral challenges
- Extent of support needs due to behavioral challenges
- Mobility (full, with wheelchair/aid, none)
- Vision impairment
- Hearing impairment
- Extent of need for paid support (daily vs. less frequent than daily)
- Type of residence (nursing home, group home, own home, parent/relative's home, foster/host home)
- Feelings of loneliness
- Overall health status
- Level of weekly physical activity

Factors that vary notably between the two modes: Background Information

Background Information from administrative records	
Average age	In-person sample is 2 years older
Percent with a legal guardian	Remote sample is significantly more likely to have a legal guardian
Percent whose primary language is English	In-person sample significantly more likely to have English primary language
Percent who have behavior challenges (e.g., aggression, self-injurious behavior, etc.)	In-person sample significantly more likely to have behavior challenges
Average level of behavioral support needs, measured on a scale of 0 – 9	Remote sample significantly higher level of behavioral support need
Percent living in their own home or apartment	In-Person sample significantly more likely to live in own home

All differences are statistically significant ($p < 0.05$) unless otherwise noted. Factors tested and not included in the table do not vary significantly by survey mode.

Factors that vary notably between the two modes: Sections 1 and 2

Survey Section 1 (responses by participant only)	
Percent who report feeling lonely “sometimes” or “often” (approaches significance, $p=0.073$)	Remote sample more likely to report feeling lonely “sometimes” or “often”
Survey Section 2 (responses by participant or a proxy)	
Average score on the Personal Choice Summary Measure, scale of 0 – 1	Remote Sample significantly higher score
Percent reporting to be in “very good” or “excellent” health (approaches significance, $p=0.069$)	Remote Sample more likely to report very good or excellent health
Percent who engage in moderate physical activity for at least 10 minutes, 5 or more times a week (as opposed to 4 times or less per week)	Remote Sample significantly more likely to report engaging in moderate physical activity

State-level decision-making: Should my state use the remote survey option

NCI In-Person-Survey tool and protocols were developed for in-person administration to ensure that surveyors can attend to the person's environment, body language, and establish rapport during the conversation. Advances in video conferencing technology, and a societal shift to more use of this technology in 2020 have given us an opportunity to consider remote (video surveying) as an option when face to face surveying cannot be done - with some important considerations.

States should the following when considering remote surveying as an option for IPS administration

Prevailing conditions for public safety: Federal and State public health guidance, recognizing vulnerable populations, which take into account community transmission rates, availability of PPE, status of 'opening' for visitors in day and residential programs.

What are the protocols/plans states have in place for monitoring/contacts that were formerly-in-person program, case management or licensure/quality visits?

Technology: Ability to ensure that technology (broadband, hardware) and needed support to use the technology are available. What is the feasible "in person" option that states can offer?

Comparability: At present, the data are showing that it is possible to get a valid survey using remote (video), provided protocols and supports are in place. And that what we're working on.

Sample drawn must remain random. There may be people who are excluded due to the introduction of broadband and technology requirements, despite protocols/supports in place. States must be able to track this in order to determine whether, or the extent to which, introducing remote surveying is introducing bias. The data will continue to be valuable for policy uses. Error margins may be larger.

How to make mode decisions at the individual level

Many states may elect to include both in-person and remote surveying for the IPS. The principle of meeting the person in a place that works for them remains:

When surveyor contacts the person to schedule interview, they can offer an in-person visit, and work to achieve a safe arrangement (e.g. “do you have a place where you’ve been able to have visitors outside and at a distance?”).

The surveyor can also let the person know that if an in-person visit is not possible, the person may choose to participate in the discussion through video conference, letting them know technology requirements (phone, tablet, or computer – with working video and audio capacity, and stable internet that allows for video connection).

Providing Access to Technology to Support Remote Interviewing

Celia S. Feinstein

Institute on Disabilities, Temple University

Lee A. Stephens

Office of Developmental Programs, PA Department of Human Services

Issues That Arose During the Pilot (i.e. reasons for survey refusals)

- Individuals with no access to technology (laptop, chromebook, Ipad)
- Individuals with no knowledge of how to use technology
- Residential settings/homes with no WIFI
- Providers prohibiting the use of Zoom (or other video platforms)
- Individuals living with older families who have no knowledge/ability/interest in supporting their loved ones use of technology

Possible Solutions to Issues

- Insure that provider agencies are aware that WIFI costs are part of the waiver residential rate (policy clarification)
- Support individuals interest in being interviewed in accessing technology (state AT Act program, Lending Library)
- Work with Aging and Disability Resource Centers (ADRC) to use COVID Relief Package funds for the purchase/lending of hotspots



Kentucky Report Pilot Results

Total sample- 29

*Taken from the sample
pulled for our 2019-2020 IPS.*

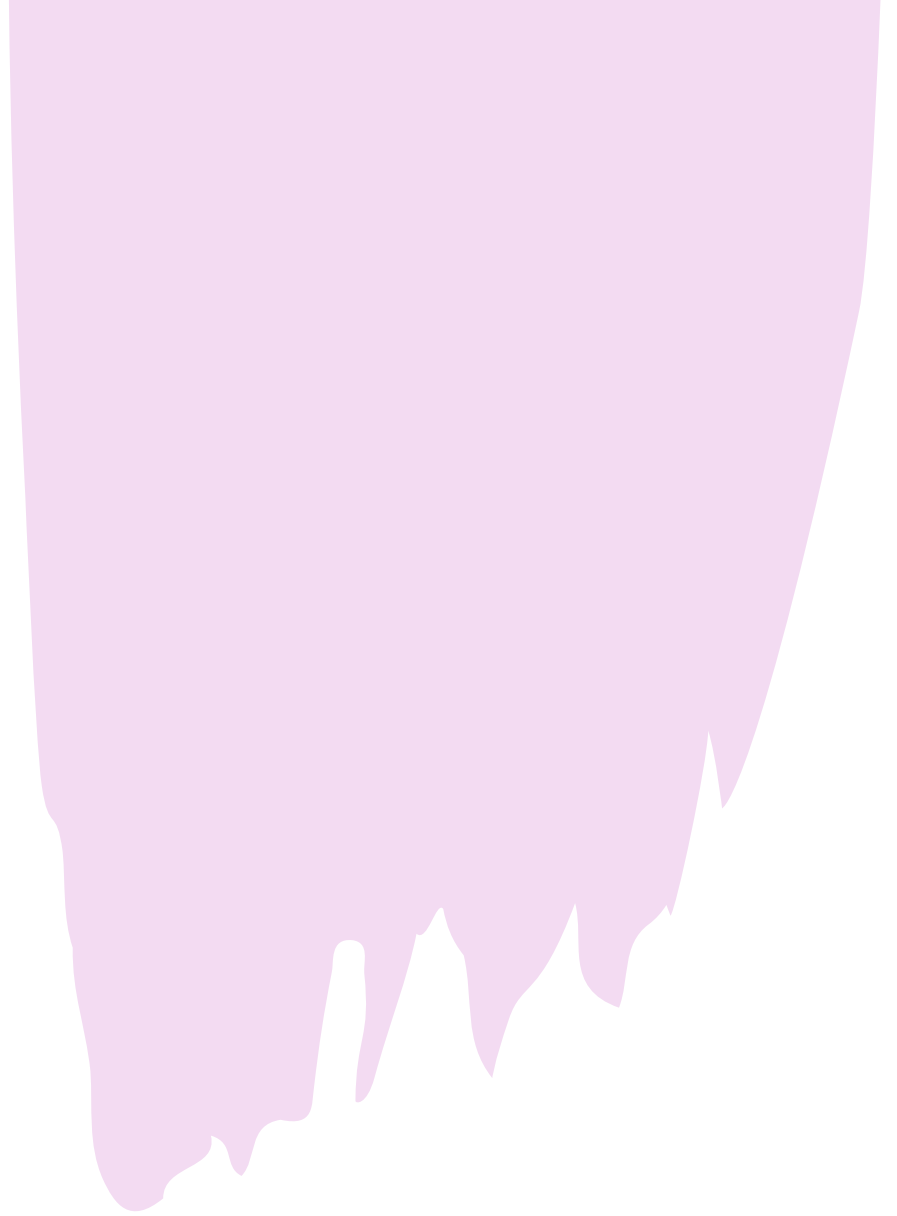
Total surveys completed= 0

Refusal by guardian- 1

Refusal by individual- 1

Technology related barriers- 5

Could not be reached- 9





Take aways:

- Regular IPS surveys completed- 330
- All of the "easy" to get people were surveyed during the regular cycle.
 - Victim of our own success.
- More time to coordinate with providers would improve success.
- Some potential participants still lack needed technology.

Breakout Session 1: Survey Decisions

*(Be sure to assign a
note taker!)*

*Please email notes to
dhiersteiner@hsri.org*

Where is state in decision making process?

- Is your state participating in the IPS for the 20-21 data cycle?
- If unknown, what information or resources are need in order to facilitate decision making?

Which mode(s) will your state use:

- All face to face
- All remote
- Both

How to make sure people are not left out

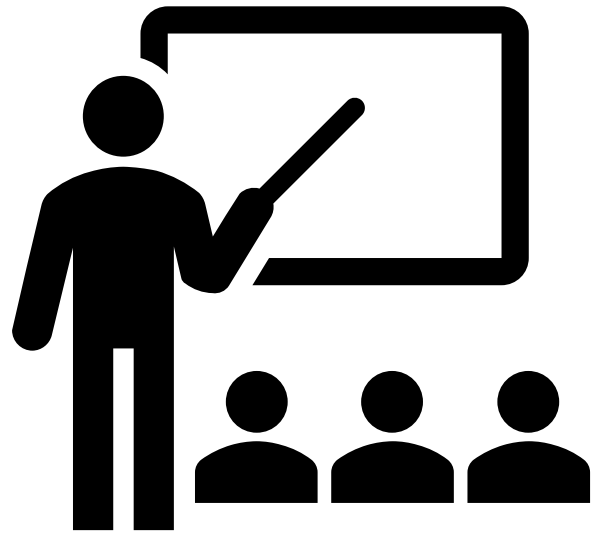
- What if someone doesn't have access to technology needed?
- What protocols will be in place?

Remote Protocol: Technology Requirements

- States must use a HIPAA compliant video conference
 - Most pilot states used Zoom
 - States that did not use Zoom tended to experience more challenges with platform
- Both surveyor and person being surveyed must:
 - Use high speed internet – meaning the internet is stable enough for video conference
 - Have a two-way audio connection
 - Have (and use!) a functioning web cam
 - Be visible from chest up in order to maintain rapport, see non-verbal cues
- Surveyors may not use a Smart Phone to conduct surveys
- People being surveyed may use any device they have access to

Poll Question 2

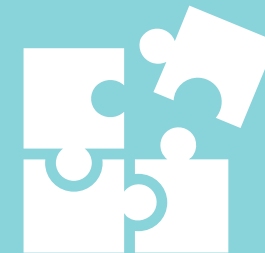
- Does your state's NCI team have access to HIPAA compliant Zoom?
 - Yes
 - No
 - Don't know



Training Requirements

- All trainings (full and refreshers) will have an online component (asynchronous learning)
 - Trainings are composed of multiple modules that surveys will view on their own and include knowledge checks throughout as well as a final knowledge review
 - Refresher trainings are more robust to include changes, including: proxy determination, remote surveying protocol and best practices
 - Lead trainers are required to complete the appropriate training
- An additional live webinar portion is required for new surveyors and recommended for returning surveyors
 - Live webinar will include: state specific information, practice surveys, outstanding surveyor question and answer
- HSRI will release and provide complete guidance on trainings mid-September

Training Modules



Asynchronous Training Modules

- Project Overview: Brief overview of NCI and ways the data are used
- Requirements for in person and remote surveys
- Survey Structure: A brief review of the various sections of the survey including “Survey Status” and “Proxy Determination”
- (modified for returning surveyors)
- Use of proxy respondents and interpreters
- Proxy Determination:
- How to conduct the Proxy Determination section and strategies for communication
- Survey tool review (modified for returning surveyors)
- Strategies for conducting survey meeting

Live Webinar

- Lead by an NCI Team member and/or the State Lead Trainer
- The webinar will include:
 - Brief review and reminders on surveying requirement and best practices
 - Breakout sessions for practice surveying
 - Surevyor question and answers
- The session may also include a review of state specific information on:
 - Consent, mandated reporting and unmet need follow-up
 - How assignments are made
 - When/how to decide whether a survey will be conducted remotely or face-to-face



Training and additional guidance will cover...

- Setup recommendations for surveyor and respondent
 - How to ensure privacy
 - Limiting distractions
- Initial contact
- Entering survey status
 - New requirement 2020-21
- **Proxy Determination**
 - **New requirement 2020-21**
- Use of proxy and interpreters
 - Note, proxy respondents *may* call in from separate locations
- Taking breaks
- Best practices and trouble shooting during remote survey
- COVID supplement
- **REMEMBER** data are due June 30, 2021!

National Core Indicators Building Rapport & Proxy Determination

*Kayla Diggs Brody
Dawn M Machonis*

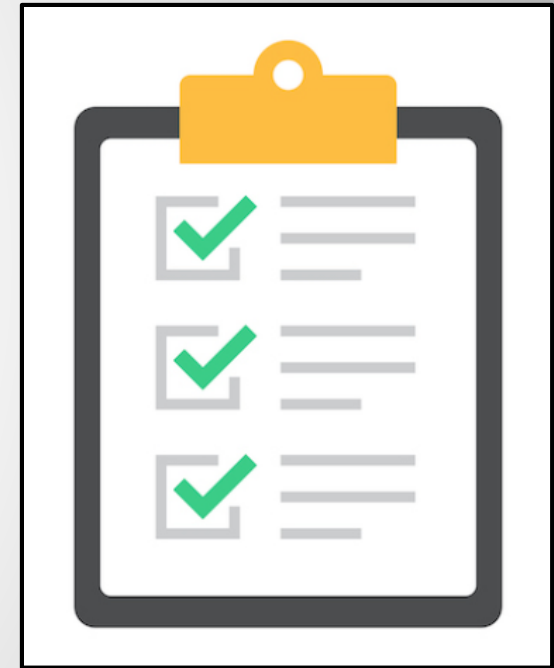
Partnership for People with Disabilities
Virginia Commonwealth University
September 2020

Building Rapport during Remote Surveying



Preparing for the Interview

- Remind participant of their scheduled interview date (email, text, phone call)
- Create an interview checklist
- Keep contact information for participant and anyone supporting them during an interview handy
- Reference Pre-Survey information or other background information you may have about the participant to prepare
- Have any required survey materials handy
- Set-up interview space (including computer charger)
- Relax, it will be fun!





Starting the Interview

- Introduce yourself and include an interesting fact that may spark conversation
- Pay close attention to background scenery – you may see items that you can ask questions about
- If someone other than the participant is present during the interview, ask who they are and how the participant knows them
- Be honest about your level of experience using video conferencing to conduct interviews or that this process is new to NCI

General Video Conference Interview Tips



Space

- If interviewing from home, let your household know when you have interviews
- Find a brightly lit room
- Pick a quiet space that is private
- Use headphones (with a microphone) for an extra level of privacy

Technology

- Charge your laptop or have the charging cable handy
- Practice using Zoom
- Know how to troubleshoot issues

Behavior

- Use the mute button as needed
- Let the participant know that you may not look at them the entire time because you need to reference your survey materials
- Stay focused on the interview
- Close/minimize all other applications on your computer
- Silence phone(s) and desktop notifications

Valid Response vs. Proxy Determination

- Remember the reason for 'proxies'
- Reframe thinking about proxy to wondering:

Do the participant's
answers seem valid?



Using Proxy Determination Questions

- Read season questions as written, then
- Use season questions using yes/no format, then
- Use additional methods to explore and assess ability to give valid responses to any questions in Part 1 of the IPS



Tips

- Rephrase question staying true to intent
- Take time to understand how someone communicates
- Use rapport building tips to assess comprehension prior to the interview
- Ask NCI concrete questions first then more difficult ones
- Ask follow-up questions to check for validity
- Use slower pace
- Be conscious of seating
 - Have direct line to participant
 - Try to have family/staff out of direct line to the participant
- Family
 - Can sometimes reword in a way that helps participant understand
 - “Let’s just try and see how it goes”; “Let’s give it a shot”
 - Some questions are easier than others
 - Explain procedure in initial call regarding Part 1 & Part 2 of IPS





NCI Remote Pilot

Notes from the Field

DATE: September 9th, 2020 PRESENTED BY: Alice Longley Miller, MSW, MPH

Interviewing adults with no or limited verbal communication

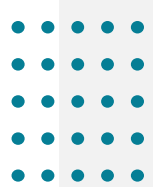
Challenges in the field

- Training from in person surveys not always applicable to remote interviews
- Increased reliance on proxies
- Impacted on interviewer confidence, especially our experienced team members
- Problems with technology performance/poor internet connection amplified

Lessons Learned in Oregon

Ensuring Response Validity

- New guidance and training
- Role of the systems check
- Coaching interviewers
- Establish communication supports in advance
- Embrace response option: 99
- Importance of detailed pre-survey information



Breakout Groups 2
*(Be sure to assign a
note taker!)*
Please email notes to
dhiersteiner@hsri.org

Next Steps for 2020-2021 cycle

- What are the next steps needed in order to prepare for the 20-21 NCI IPS survey cycle?
- What other resources, additional information, or support would assist in preparation?

Outstanding Questions

- Do you have questions that have not been answered or need additional clarification/information?
- If yes, what?

Poll question 3

- Would you be interested in participating in a workgroup to continue discussion about the 20-21 IPS Survey Cycle?
 - Yes
 - No
 - Maybe



Poll Question 4

- On a scale from 1-5 how confident are you feeling about the implementation of the NCI IPS in 2020-21 in your state?
 - 1 - not confident at all
 - 2
 - 3 - somewhat confident
 - 4
 - 5 - very confident